



Robert Greene Sterne  
Edward J. Kessler  
Jorge A. Goldstein  
David K.S. Cornwell  
Robert W. Esmond  
Tracy-Gene G. Durkin  
Michele A. Cimbala  
Michael B. Ray  
Robert E. Sokohl  
Eric K. Steffe  
Michael Q. Lee  
Steven R. Ludwig  
John M. Covert  
Linda E. Alcorn  
Robert C. Millonig  
Lawrence B. Bugaisky  
Donald J. Featherstone  
Michael V. Messinger

Judith U. Kim  
Timothy J. Shea, Jr.  
Patrick E. Garrett  
Heidi L. Kraus  
Edward W. Yee  
Albert L. Ferro\*  
Donald R. Banowitz  
Peter A. Jackman  
Teresa U. Medler  
Jeffrey S. Weaver  
Kendrick P. Patterson  
Vincent L. Capuano  
Eldora Ellison Floyd  
Thomas C. Fiala  
Brian J. Del Buono  
Virgil Lee Beaston  
Kimberly N. Reddick  
Theodore A. Wood

Elizabeth J. Haanes  
Joseph S. Ostroff  
Frank R. Cottingham  
Christine M. Lhulier  
Rae Lynn Pregelman  
Jane Shershenovich\*  
Lawrence J. Carroll\*  
George S. Bardmesser  
Daniel A. Klein\*  
Jason D. Eisenberg  
Michael D. Specht  
Andrea J. Kamage  
Tracy L. Muller\*  
LuAnne M. DeSantis  
John J. Figueroa  
Ann E. Summerfield  
Tiera S. Coston\*  
Aric W. Ledford\*

Michael D. Specht  
Jessica L. Parezo  
Timothy A. Doyle\*  
Cynthia M. Bouchez  
Nicole D. Dretar\*  
Ted J. Ebersole  
  
**Registered Patent Agents\***  
Karen R. Markowicz  
Nancy J. Leith  
Helene C. Carlson  
Gaby L. Longsworth  
Matthew J. Dowd  
Aaron L. Schwartz  
Mary B. Tung  
Katrina Y. Pei Quach  
Bryan L. Skelton  
Robert A. Schwartzman

Teresa A. Colella  
Jeffrey S. Lundgren  
Victoria S. Rutherford  
Eric D. Hayes  
Michelle K. Holoubek  
Robert H. DeSelms  
Simon J. Elliott  
Julie A. Heider  
Mita Mukerjee  
Scott M. Woodhouse  
  
**Of Counsel**  
Kenneth C. Bass III  
Evan R. Smith  
Marvin C. Guthrie  
\*Admitted only in Maryland  
\*Admitted only in Virginia  
•Practice Limited to Federal Agencies

March 24, 2004

**WRITER'S DIRECT NUMBER:**  
(202) 772-8835  
**INTERNET ADDRESS:**  
TFIALA@SKGF.COM

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

**Art Unit 2183**

Re: U.S. Continuation Patent Application  
Application No. 10/700,485; Filed: November 5, 2003  
For: **High-Performance, Superscalar-Based Computer System With Out-Of-Order Instruction Execution**  
Inventors: NGUYEN *et al.*  
Our Ref: SP015.C17 (1397.028000H)

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Fourth Supplemental Information Disclosure Statement;
2. Form PTO-1449 listing **FIVE (5)** documents (1 page);
3. Copy of **FIVE (5)** cited documents as listed on Form PTO-1449; and
4. ONE (1) return postcard.

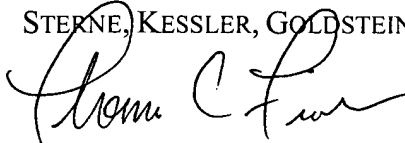
It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

Commissioner for Patents  
March 24, 2004  
Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in black ink, appearing to read "Tom C Fiala", written in a cursive style.

Thomas C. Fiala  
Attorney for Applicants  
Registration No. 43,610

TCF/mjg  
Enclosures



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

NGUYEN *et al.*

Appl. No.: 10/700,485

Filed: November 5, 2003

For: **High-Performance, Superscalar-  
Based Computer System With Out-  
Of-Order Instruction Execution**

Confirmation No.: 7752

Art Unit: 2183

Examiner: To Be Assigned

Atty. Docket: SP015.C17 (1397.028000H)

**Fourth Supplemental Information Disclosure Statement**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. The numbering on this Fourth Supplemental Information Disclosure Statement is a continuation of the numbering in Applicants' Third Supplemental Information Disclosure Statement filed on February 17, 2004 in connection with the above-captioned application.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☒ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR **before the mailing date of a first Office Action on the merits** OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.

- ☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$\_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee.

Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$\_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

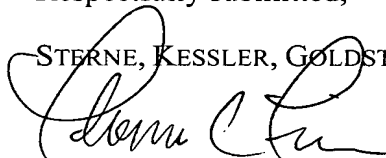
- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☒ 5. Document **AL7** was cited in an Office Action (document **AT31**) issued in a Japanese counterpart application. A translation of the Office Action has been provided and indicates the degree of relevance found by the foreign office in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38. Documents **AA8** and **AB8** are U.S. counterparts of document **AL7**..
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below:
- ☒ 7. Copies of the documents are submitted herewith.

- ☐ 8. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO 1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.  


Thomas C. Fiala  
Attorney for Applicants  
Registration No. 43,610

Date: 3/24/04

1100 New York Avenue, N.W.  
Washington, D.C. 20005-3934  
(202) 371-2600

FORM PTO-1449

ATTY. DOCKET NO.  
SP015.C17 (1397.028000H)APPLICATION NO.  
10/700,485

## INFORMATION DISCLOSURE STATEMENT

FIRST NAMED INVENTOR: NGUYEN et al.

FILING DATE  
November 5, 2003ART UNIT  
2183

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |     | DOCUMENT<br>NUMBER | DATE       | NAME   | CLASS | SUB-CLASS | FILING DATE |
|---------------------|-----|--------------------|------------|--------|-------|-----------|-------------|
|                     | AA8 | 4,901,233          | 02/13/1990 | Liptay |       |           |             |
|                     | AB8 | 5,134,561          | 07/28/1992 | Liptay |       |           |             |
|                     | AC8 | 5,473,764          | 12/05/1995 | Chi    |       |           |             |
|                     | AD8 |                    |            |        |       |           |             |
|                     | AE8 |                    |            |        |       |           |             |
|                     | AF8 |                    |            |        |       |           |             |
|                     | AG8 |                    |            |        |       |           |             |
|                     | AH8 |                    |            |        |       |           |             |
|                     | AI8 |                    |            |        |       |           |             |
|                     | AJ8 |                    |            |        |       |           |             |
|                     | AK8 |                    |            |        |       |           |             |

## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL |     | DOCUMENT<br>NUMBER | DATE       | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|---------------------|-----|--------------------|------------|---------|-------|-----------|-------------|
|                     | AL7 | 64 36336           | 02/07/1989 | Japan   |       |           | Yes<br>No   |
|                     | AM7 |                    |            |         |       |           | Yes<br>No   |
|                     | AN7 |                    |            |         |       |           | Yes<br>No   |
|                     | AO7 |                    |            |         |       |           | Yes<br>No   |
|                     | AP7 |                    |            |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|  |    |    |   |
|--|----|----|---|
|  | AR | 31 |   |
|  | AS | 31 |   |
|  | AT | 31 | Final Rejection, mailed January 30, 2004, for Japanese Appl. No. 2000-146443, and English language translation of same, 3 pages.. |

|          |                 |
|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.